

Detailed Rules for Implementation of Research Projects  
at the Research Institute for Humanity and Nature

Established on March 10, 2016  
Final Amendment on October 10, 2023

(Purpose)

Article 1 These regulations prescribe the matters necessary pursuant to the Program-Project Rules of the Research Institute for Humanity and Nature (RIHN) (Rule No. 60 enacted on March 10, 2016; hereinafter, "Rules") in accordance with the provisions of Article 19.

(Start date of research projects, etc.)

Article 2 The start of the research projects shall be as follows:

I FR: April 1

II PR: Date of appointment of project Leader (PL) to the Research Institute for Humanity and Nature (hereinafter, "RIHN")

2 In the case of the first item of the preceding paragraph, when it is not possible to start at the specified time because of unavoidable circumstances, the start date shall be decided by the Council for Research Strategy.

3 The start of preparatory studies shall be as follows

(i) FS of the research project: April 1 or October 1

(ii) FS for strategic project: April 1

(iii) IS: April 1 or October 1

(Exceptions to the period of implementation of research projects, etc.)

Article 3 The separately specified cases stipulated in Article 7, Paragraph 1 of the Rules shall be limited to cases in which the Council for Research Strategy approves the extension of PR because of unavoidable circumstances.

2 In the case where the provision of the preceding paragraph applies, the FR termination date shall not change the date determined in accordance with Article 7, Paragraph 1, Item 1 of the Rules.

3 The separately specified cases prescribed in Article 7, Paragraph 2 of the Rules shall be as follows:

(i) Notwithstanding the approval of transfer to a research project, it cannot be started at the beginning of the following fiscal year,

(ii) Among cases where the FS of a research project has undergone external review by the External Research Evaluation Committee (hereinafter, "EREC") as stipulated in Article 14, Paragraph 1, Item 2 of the Rules, when said FS was not approved for transfer to a research project, yet the FS Principal Investigator wishes to do so and the Council for Research Strategy grants an extension.

4 In cases where the provisions of the preceding paragraph apply, the project shall be continued as a FS of the research project for up to one year for the following fiscal year only.

(Project leader)

Article 4 The PL stipulated in Article 10, Paragraph 1, Items 1 and 2 of the Rules shall include those to whom Regulations Concerning the Cross Appointment System of the Inter-University Research Institute Corporation National Institutes for the Humanities (hereinafter, "NIHU") (Regulation No. 134 of December 14, 2015) are applied, and details shall be separately discussed with said Institutes.

(Program members and Research project members)

Article 5 Program members stipulated in Article 9, Paragraph 2 and Research project members stipulated in Article 9, Paragraph 4 of the Rules shall meet one of the following qualifications:

- (i) Researchers affiliated with the RIHN (including those who have been conferred the title of Professor Emeritus, etc.)
- (ii) Researchers from universities or research institutes other than the RIHN (including those who have been conferred the title of Professor Emeritus, etc.);
- (iii) Graduate students;
- (iv) Those who are approved by the Director-General (hereinafter, "DG") or the Dean of Research as program members, and those who are approved by Program Director as research project members.

2 In principle, the DG shall appoint collaborative researchers for program members and research project members in accordance with the Regulations on Collaborative Researchers of the NIHU (NIHU Regulations No. 63, November 15, 2004).

(Sub-leader)

Article 6 Notwithstanding the provisions of Article 9, Paragraph 5 of the Rules, a person stipulated in Paragraph 1, Item 3 of the preceding Article may not be a sub-leader.

(Core members)

Article 7 Core members as defined in Article 9, Paragraph 6 of the Rules shall meet one of the following qualifications:

- (i) Research and education staff, specially appointed researchers, researchers, invited foreign scholars, and visiting faculty members belonging to the RIHN,
- (ii) Researchers affiliated with universities or research institutions other than the RIHN,
- (iii) Other persons deemed especially necessary by the DG for the implementation of the research project, etc.

(CP project members)

Article 8 CP project members as defined in Article 11, Paragraph 3 of the Rules shall have a history of working as a project member of the research project.

2. In principle, the DG shall appoint collaborative researchers for CP members in accordance with the Regulations on Collaborative Researchers of the NIHU (NIHU Regulations No. 63, November 15, 2004).

(Call Procedures for preparatory studies)

Article 9 The procedures for public call for a preparatory study as stipulated in Article 12 of the Rules shall be decided by the DG after deliberation by the Council for Research Strategy.

2. In conducting the public call for proposals, the RIHN shall publicly announce the application guidelines, application forms, research plan forms, and other necessary matters describing the public call procedures, etc., both within and outside the RIHN, through media such as electronic data, the RIHN website, etc.

(Adoption of preparatory studies)

Article 10 The criteria for reviewing the selection of applications for preparatory studies as stipulated in Article 12 of the Rules shall be as set forth in Appendix 1.

2 The RIHN will notify applicants of the results of the selection process.

(Transition from IS to FS)

Article 11 The criteria for review of the transition from IS to FS as stipulated in Article 13 of the Rules shall be as specified in Appendix 1.

2 The transition procedure shall be initiated at least one month prior to the transition to FS, and matters necessary for implementation shall be decided by the DG after deliberation by the Council for Research Strategy.

3 The RIHN will notify the IS Principal Investigator of the selection (review) results.

(Transition from FS to research project)

Article 12 The criteria for review in the transition from FS to a research project as stipulated in Article 14 of the Rules shall be as set forth in Appendix 1.

2 The Council for Research Strategy, in conducting the review stipulated in Article 14 of the Rules, may hear the opinions of external experts on the viewpoints stipulated in Appendix 2 to determine whether academic standards in the area of expertise have been met.

3 The transition procedure shall be initiated at least one month prior to the transition to a research project, and matters necessary for implementation shall be decided by the DG after deliberation by the Council for Research Strategy.

4 The RIHN will notify the FS Principal Investigator of the selection (review) results.

(Evaluation criteria in external review)

Article 13 In the external review stipulated in Article 15, Paragraphs 1 and 2 of the Rules, the review shall be requested from the perspective of the categories stipulated in Appendix 3.

(Exclusion of interested parties)

Article 14 The selection process stipulated in Articles 12, 13, and 14 and external review stipulated in Article 15 of the Rules shall be conducted with interested parties excluded, the details of which shall be separately determined.

(Research and budget plans)

Article 15 The research plan shall include a budget plan, and the maximum planned amount for each fiscal year for each research project, etc. shall be as specified in the following table.

Research projects, etc.		Budget plan upper limit
Research project	FR	50,000,000 yen
	PR	16,000,000 yen
	FS	4,000,000 yen
	IS	1,000,000 yen
Strategic project	FR	10,000,000 yen
	FS	1,000,000 yen

2 Notwithstanding the provisions of the preceding paragraph, if the research project, etc., does not begin on April 1, stated sums shall be calculated on a monthly basis according to the number of applicable months, and in case of PR, the transition month shall be included in PR.

(Change of research plan)

Article 16 In the event that it becomes necessary to make changes that significantly affect the promotion of the research plan stipulated in Article 6 of the Rules with regard to the preparatory studies specified below, the research plan may be changed with the approval of the program director of the program to which the researcher belongs.

(i) IS

(ii) FS before review as specified in Article 14, Paragraph 1, Item 1 of the Rules.

2 In the event that it becomes necessary to make changes that will significantly affect the promotion of the research plan stipulated in Article 6 of the Rules with regard to the research projects, etc., specified below, the research plan may be changed after deliberation by the Council for Research Strategy.

(i) FS after the review specified in Article 14, Paragraph 1, Item 1 of the Rules and before the external review by EREC specified in Item 2 of the same Paragraph.

(ii) FR with an unofficial (informal) decision to commence research,

(iii) FRs with serious needs that have arisen during the study period.

(Change of research project title)

Article 17 The title of the research project may not be changed during the research period of each research phase.

2 Notwithstanding the provisions of the preceding paragraph, minor modifications in the title of the research project in English may be made.

(Other)

Article 18 In addition to what is provided for in these detailed rules, matters necessary for the implementation of research projects, etc. and dissemination of CP results shall be determined by the DG.

#### Supplementary Provisions

1 These detailed rules shall come into effect on April 1, 2016.

2 The Regulations on Implementation of Research Projects, etc. of the Research Institute for Humanity and Nature (RIHN) (enacted on December 20, 2010) are repealed.

Supplementary Provisions

These detailed rules shall come into effect on August 1, 2018.

Supplementary Provisions

These detailed rules shall come into effect on December 1, 2018.

Supplementary Provisions

These detailed rules shall come into effect on April 9, 2019, and shall apply from April 1, 2019.

Supplementary Provisions

These detailed rules shall come into effect on December 10, 2019.

Supplementary Provisions

These detailed rules shall come into effect on November 10, 2020.

Supplementary Provisions

These detailed rules shall come into effect on November 9, 2021.

Supplementary Provisions

1. These detailed rules shall come into effect as of November 8, 2022.

2. Research Plan and Research Title Changes of the RIHN Projects (Ruling of the Director-General on August 21, 2020) is repealed.

Supplementary Provisions

These detailed rules shall come into effect on May 16, 2023.

Supplementary Provisions

These detailed rules shall come into effect on October 10, 2023.

#### Appendix 1 (Re: Articles 10, 11 and 12)

Evaluation criteria	
Scope and significance of the research	<p>Problem to be addressed, Background</p> <ul style="list-style-type: none"><li>—The research will concretely address a major pressing sustainability challenge.</li><li>—Relevant academic literature is reviewed in relation to the proposed research.</li><li>—The research is explicitly placed within a societal context.</li></ul> <p>Originality</p> <ul style="list-style-type: none"><li>—Novelty of the research in relation to existing research is shown.</li></ul> <p>International, Interdisciplinarity, Transdisciplinarity</p> <ul style="list-style-type: none"><li>—Meaningful work in multiple countries and/or international relevance of approach and findings clearly worked out / links to international processes</li><li>—Project organization not based on disciplinary groups</li><li>—Integrated conceptualization, overarching research questions</li><li>—Co-designed with stakeholders</li><li>—Clear indication of how the project will contribute to real-world change</li></ul>

Appropriateness of the research proposal	<p>PL qualifications</p> <ul style="list-style-type: none"> <li>—PL has a strong record in publications and research leadership</li> <li>—PL has strong experience as project manager and in social engagement</li> </ul> <p>Appropriateness of methodology</p> <ul style="list-style-type: none"> <li>—Methodology is well-described and best for producing the expected results</li> </ul>
Sound project design	<p>Appropriate project structure</p> <ul style="list-style-type: none"> <li>—Project elements are all necessary and well-linked</li> </ul> <p>Feasibility of plan</p> <ul style="list-style-type: none"> <li>—Resources, including human, are sufficient to realize the project goal</li> <li>—Budget size and allocation are appropriate to the project plan</li> </ul>

#### Appendix 2 (related to Article 12)

Academic perspectives	
1. Academic significance of the research topic	<p>Is this a significant research issue that should be promoted from an academic perspective?</p> <p>Is the academic "question" at the core of the research theme clear, and is it recognized for its academic originality and creativity?</p> <p>Is it clear how the research plan was conceived and how the research is positioned in relation to relevant domestic and international research trends?</p> <p>Can the implementation of this research project be expected to have a ripple effect on a wider range of areas, such as academia, science and technology, and/or society?</p>
2. Validity of research methods	<p>Are the research methods specific and appropriate to achieve the objectives of the research? Additionally, are research expenses consistent with the research plan?</p> <p>Is there adequate readiness to achieve the research objectives?</p>
3. Ability to conduct research	<p>Does the applicant possess sufficient ability to conduct the research in view of his/her past research activities?</p>
4. Appropriateness of research expenses	<p>Are the research expenses reasonable and expected to be used effectively?</p> <p>Are the expenses for facilities and equipment necessary for the execution of the research plan?</p>

#### Appendix 3 (related to Article 13)

Classification	External review perspectives
Mid-term evaluation of research project	<p>Achievement since the commencement of FR</p> <p>Revision of future direction</p>

as stipulated in Article 15, Paragraph 1 of the Rules	The degree of achievement of dissemination and social implementation toward achieving the final goal (however, only the previous year of the completed fiscal year shall be considered)
Final evaluation of the research project as stipulated in Article 15, Paragraph 2 of the Rules	Achievement of research project Output during the project period Continuity of research projects